

IT Initiative Supplement

April 26, 2010

I. Project Description

Project Title: CAPS Maintenance and Enhancement

Brief Description of the Project Title: Child and Adult Protective Services system (CAPS), the State's current SACWIS application. CAPS is a mainframe-based system used in the monitoring of foster care cases, adoption cases, provider contracts and licensing, financial accounting, payments for services to providers and reporting.

Due to the postponement of the Montana Automated Child Welfare Information System (MACWIS) replacement, the State must enhance the current SACWIS system, the Child and Adult Protective Services (CAPS) system. These enhancements are necessary to be compliant with federal regulations and to support the child and family services managed through the CAPS system.

Statewide Priority: 1

Agency Priority: 1

Estimated Completion Date: FY2015

IT Project Biennium: FY2010-11, FY2012-13, FY2014-15

Request Number:

Version:

Agency Number: 6901

Agency Name: Department of Public Health and Human Services

Program Number:

Program Name: Child and Family Services Division

A. Type of Project (check all that apply)

Enhancement X

Replacement

New

O&M X

B. Type of System (check all that apply)

Mid-Tier

Mainframe X

GIS

Web X

Network

Desktop

II. Narrative

C. Executive Summary

The CAPS (Child and Adult Protective Services) system is a comprehensive, State Wide Automated Child Welfare Information System (SACWIS) utilized by the Child and Family Services Division (CFSD) of DPHHS to facilitate the case management of child protective services, foster care, adoption, and services to juvenile probation and parole. The system maintains automated interfaces with the Child Support Enforcement Division (CFSD) through the SEARCHES system, with the Public Assistance program through the TEAMS system, with the Medicaid system through the CHIMES system and with the Early Childhood Services Bureau (ECSB) through the CCUBS system.

The CAPS system maintains a sophisticated security apparatus to protect sensitive information concerning reporters, workers, children and families in crisis. The system maintains licensing, provider services, case management, fiscal management, CPS background checks, and federal reporting compliance.

Due to a shortfall in the State's general fund balance that triggered actions prescribed by 17-7-140 Montana Code Annotated (MCA), the DPHHS, along with other agencies in the State of Montana, was directed by the Governor's office to submit a list of recommended budget reductions. Recommendations submitted by the DPHHS included a postponement of the MACWIS project.

In addition to budgetary considerations, this project was selected for postponement in order to allow the DPHHS more time to build the internal staff capacity necessary to support a system development effort the size and complexity of MACWIS. Funding for MACWIS was appropriated during the 2007 legislative session in House Bill 4 (HB4), the Long Range Information Technology (LRIT) bill.

Project Purpose and Objectives:

Maintenance and enhancement of the CAPS system is the primary purpose of the CAPS project. With the postponement of the MACWIS project, several large enhancements are now required to meet federal regulations, and improve safety and outcomes for Montana children in crisis. A major new federal reporting requirement, NYTD, will be implemented on schedule in October 2010.

The primary objectives over the next 2 to 5 years will be to support the objectives set forth in the AFCARS Improvement Plan (AIP) and the Program Improvement Plan (PIP) of CFSD in DPHHS. Both of these plans contain short and long term goals aimed at fulfilling the state's commitment to modifications and improvements needed in CFSD and ultimately in the CAPS system. Significant modifications will need to be made to the CAPS system.

The most important objective of the CAPS system is continuity of operations with diligent efforts to maintain safety, confidentiality, fiscal responsibility, services, and a host of other day to day functions necessary for child protective services.

Technical Implementation Approach:

CAPS operates in an Integrated Database Management System (IDMS) Version 16.0 environment. The application runs under ZOS v1.5 on the IBM Z800 2066-002 mainframe operated by the Department of Administration (DOA) Information and Technology Services Division (ITSD). The CAPS online dialogs are written in ADS/O and the batch modules are written in MVS COBOL, DC COBOL, and Culprit.

On-line terminal access to CAPS is accomplished through the state network and LANs using Blue Zone (3270 terminal emulation software) installed on all PCs and laptops that access mainframe systems. All workers, supervisors and managers who use the CAPS system, also have access to DOCGEN, an Oracle based system used to create and store images (in PDF format). DOCGEN is accessed through the state intranet.

CAPS has a growing number of web based applications that interact with the mainframe CAPS system of which the CPIS (CAPs Provider Invoice System) and the NYTD (National Youth in Transition Database) reporting system are examples. It is anticipated this list will grow.

The system contains approximately 709 online and batch programs. This consists of 204 screens, 166 reports, 45 DocGen documents and stores 10 gigabytes of data in CAPS and. Approximately 671 nightly jobs are run each month.

Having developed a method to use web applications to populate data inside the CAPS data base, it is anticipated application development will place more emphasis on this approach. While restricted by the fact that only 'formatted data' (primarily capital letters text and numbers) can be stored in the mainframe CAPS database, we can develop web pages to collect much of the documentation necessary to address many of the deficiencies driving the AIP and PIP (plans). The AIP and PIP goals of improving the safety, well being and permanency outcomes for children can be supported through this technology approach. In addition, the collection of this new data into the CAPS database will significantly enhance the opportunity for success of a future system, while reducing the risk of modification driven failure in the current CAPS system.

Project Schedule and Milestones:

D. Business and IT Problems Addressed

The NYTD reporting requirement is scheduled to be implemented in September 2010.

The AFCARS Improvement Plan (AIP) is scheduled for the next 2 years, but with the postponement of the MACWIS project, large problems that had been deferred, will now need to be addressed.

The CFSD Program Improvement Plan (PIP) is also scheduled for the next 2 years, but with the postponement of the MACWIS project, large problems that had been deferred, will now need to be addresses.

Data cleanup, often called DMLO, has been growing. Reports of abuse, personal information, services, rates, payments, court activities, licensing, notifications, etc, sometimes have to be 'fixed' or modified outside normal system capabilities. While this is not ideal, it is an ongoing, daily necessity for a 15 year old system.

Enhancements are a constant need. Laws and policy change and there is a continual need to fix technical program logic problems. The CAPS system finished two large multi year projects in 2009, the CAPS CHIMES interface and 5590 (IV E funding / fiscal) enhancement). 5590 appears to have been an outstanding success and will make optimum use of federal dollars for CFSD.

E. Alternative(s)

Alternatives Considered:

A new system, MACWIS was scheduled and has now been postponed.

Rationale for Selection of Particular Alternative:

Maintenance of functionality and cost avoidance can be addressed by this approach.

F. Narrative Detail

CAPS system enhancements are a critical priority. Many of the improvements to the system to meet federal compliance had been deferred to the MACWIS system as a condition of addressing deficiencies. It is now essential to accomplish some of those improvements.

Included in these improvements, specified in the AIP and PIP, are elements necessary to support 'safety assessment' – from the beginning to the end of a child's involvement with CFSD. Internal transaction dates to submit subsequent AFCARS reports are missing in the system. A consistent, systematic recording of medical history, special needs, education history, visitations, and the recording of other social work detail are crucial areas needing improvement to support CFSD efforts to improve child 'well being' objectives set by federal requirement.

Technical solutions for licensing functions are also important to fiscal accuracy and child and family 'well being'.

Technology solutions are also needed to assist CFSD in the management of 'permanency' objectives to meet federal requirement. Technology solutions are needed to support efforts to locate Foster families, manage and track complex interactions with the courts, manage and track efforts for children with moderate to severe impediments to permanency, manage and track transitional living activities, and more effectively deal with juvenile justice and youth parole.

The technical solutions required in CAPS need to address a broad spectrum of communities across the state of Montana, from rural to urban, tribal, from many available services to very few, and for remote locations. The challenges are important to consider in the development of technical solutions.

III. Costs

G. Estimated Cost of Project:

Estimated Cost of Project	FY2010	FY2011	FY2012	FY2013	FY2014	FY2015	Total
1. Personal Services - IT Staff							0
2. Personal Services - Non IT Staff							0
3. Contracted Services	1,535,125	2,325,922	2,374,433	2,374,433	2,374,433	2,374,433	13,358,777

4.	ITSD Services	441,338	361,701	441,338	441,338	441,338	441,338	2,568,391
5.	Hardware							0
6.	Software							0
7.	Telecommunications							0
8.	Maintenance							0
9.	Project Management							0
10.	IV & V							0
11.	Contingency							0
12.	Training							0
13.	Other	73,456	30,987	73,456	73,456	73,456	73,456	398,267
Total Estimated Costs		2,049,919	2,718,610	2,889,227	2,889,227	2,889,227	2,889,227	16,325,435

Total Funding:

IV. Funding

H. Funding

Total Funding

Fund	FY2010	FY2011	FY2012	FY2013	FY2014	FY2015	Total
1. 01100	1,238,038	1,202,427	1,654,961	1,744,933	1,744,933	1,744,933	9,330,226
2. 03598	811,881	1,083,391	801,475	1,144,293	1,144,293	1,144,293	6,129,626
3. 05135		432,791	432,791				865,583
4.							0
5.							0
6.							0
Total Estimated Costs	2,049,919	2,718,610	2,889,227	2,889,227	2,889,227	2,889,227	16,325,435

Cash/Bonded:

Bill Number:

V. Cost upon Completion

1. Operating Costs upon Completion

This is an ongoing effort and does not have a completion date.

FTE:

Personal Services Costs:

Operating Costs:

Maintenance Expenses:

Total Estimated Costs:

2. Funding Recap

This is an ongoing effort and does not have a completion date.

Fund Type:

Amount:

Total Funding:

V. Risk Assessment

A. Current IT Infrastructure Risks

1. **Current application 10+ years old?** Yes
Date of last major upgrade?

2. **Current application is based on old technology?** Yes

If yes, what is the current hardware platform, operating system, and programming languages used to support the application? The CAPS system operates in a mainframe (Z/OS v1.5 operating system) and is implemented under IDMS / CICS. Online dialogs are written in ADS/O and batch modules are written in MVS COBOL, DC COBOL, and Cuplrit. Its data storage is EBCIDIC in nature and limited in versatility.

The CAPS system has a companion system called DOCGEN which is implemented on an ORACLE server, is written in JAVA, and interacts with CAPS on the mainframe. It stores created and scanned documents in PDF format and can be used for limited historical retrieval of documents

There are now 2 web applications that access CAPS; CPIS (CAPS Provider Inventory System) and the NYTD (National Youth In Transition Database) Survey.

3. **Is the agency not capable of maintaining the current application with internal technical staff?** No

If yes, who supports the application today? Northrop Grumman

4. **Other IT infrastructure risks?** _____
If yes, provide further detail.

B. Current Business Risks

1. What are the risks to the state if the project is not adopted?

There is an increasing risk of significant loss of federal funding. The failure to meet the program's first 5 year PIP(1) (Program Improvement Plan) goals resulted in the current PIP(2). In addition, the most difficult and time consuming fixes to the CAPS system were deferred in PIP (2) to implementation of a new SACWIS system, MACWIS. With the postponement of MACWIS some (or all) of the deficiencies will now need to be addressed by the CAPS system.

There is also an AIP (AFCARS Improvement Plan) that was drawn up to improve Montana's ability to meet federal reporting requirements. Both plans, AIP and PIP, are running concurrently. Like the PIP, the AIP deferred the most time consuming and risky technical objectives to MACWIS. Now those need to be addressed too.

In addition to meeting the quarterly objectives in the AIP and the PIP, significant effort must be undertaken to address the larger effort problems that were deferred to MACWIS. That significantly elevates the element of risk for fiscal penalty and system failure.

In addition, there is a growing need to support background checks for employers, day care providers, group homes, youth organizations, and other institutions that deal with children, including the State of Montana. These demands are coming at a time when the CAPS system is struggling with data integrity problems, including identity issues.

2. Does the current application meet current business requirements? No **If "no", what specific business functions does the application lack?**

The CAPS system lacks a safety assessment that is integrated into the system. Both immediate and long term safety mechanisms need to be put in place to keep children and families safe.

The CAPS system cannot currently run 'subsequent AFCARS' reports (i.e. the ability to run a report for a previously reported period. This is a SACWIS violation.

The CAPS system does not have the ability to document Special Needs with beginning and ending dates and requires significant modification to properly track Special Needs. The identification and documentation requirements in the CAPS system do not meet federal requirement.

The CAPS system must have a more robust capability to manage and track education and health histories.

Episode definition is something the state of Montana needs to address in the CAPS system. Detention, 'run away', hospitalization are examples of incidents that are not handled well by the CAPS system.

Court activities, orders, and the processes used within DPHHS, need considerable technical support to obtain more auditable data and management reporting to encourage permanency

and better long term outcomes for children. These are critical improvements needed for federal compliance, and for children who are struggling in the Foster Care system in Montana.

The CAPS system needs to be able to track attempts to execute ‘diligent search’ for permanency outcomes.

Pre-adoptive data is either inaccurate or nonexistent in the CAPs system due to process behavior and lack of system functionality. CAPS needs modifications to address this issue.

There are numerous activities that should be documented, throughout the life of a case, that are not documented in the CAPS system today. The CAPS system must have new functionality added to address this issue or CFSD will face penalty.

The licensing functions in CAPS are not sufficient to support the licensing requirements for CFSD. These need to be enhanced for fiscal, safety, and legal reasons.

C. Project Risk Assessment

1. Describe any major obstacles to successful implementation and discuss how those obstacles will be mitigated.

Table H Risk Assessment

Description	Severity (H/M/L)	Probability of Occurrence (%)	Estimated Cost	Mitigation Strategy
Skilled analytical resources are not available to do all the work required to fix the CAPS system to meet federal requirement	H	100	2 FTE for at least 3 years	Address highest priority crisis as it occurs. Because there are many problems with CAPS, a survival strategy will become necessary.
Federal penalty could be assessed.	H	Unknown	10 % of IV E admin/year assessed IV E Admin currently over \$5,000,000 / year.	Address objectives stated in the current AIP and PIP and meet all technology goals. Bring some of the ‘do able’ goals deferred to MACWIS forward and develop solutions for them in CAPS.